

Item 1 – Cover Page

Doucette Financial
Form ADV Part 2B – Brochure Supplement
For
Rick Doucette
Financial Advisor

Doucette Financial
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Sabattus, ME 04280

www.doucettefinancial.com

Effective 10/30/2025

This brochure supplement provides information about Rick Doucette that supplements the Doucette Financial brochure. You should have received a copy of that brochure. Please contact Doucette Financial if you did not receive Doucette Financial's brochure or if you have any questions about the contents of this supplement.

Additional information about Rick Doucette is available on the SEC's website at www.adviserinfo.sec.gov by searching with his full name or his individual CRD #8039692.

Item 2 – Educational Background and Business Experience

Rick Doucette, born in 1986 is dedicated to providing the utmost client experience as a financial advisor. He received a Bachelors of Science, Majoring in Finance from the University of Southern Maine in 2023.

He has been working in the financial industry for the past 7 years.

Employment Past 5 Years

Paychex – Client Accounting Specialist

January 2018 – Present

Item 3 – Disciplinary Information

There are no legal, civil or disciplinary events to disclose regarding Rick Doucette.

Item 4 – Other Business Activities

Rick Doucette has been employed as a Client Accounting Specialist with Paychex since January 2018. 160 hours a month are dedicated to this business. Hours for this other business will decline as investment advisor hours increase. In example if 40 hours are needed for investment advisor business during month other business hours will be decreased to a total of 120 hours. Number of hours devoted to other businesses during trading securities hours is dependent on amount of business such as the example provided above. The duties to the other business are generally accounts receivable which means matching items with the invoices that they are supposed to pay.

Item 5 – Additional Compensation

There are no additional compensation items to disclose for Rick Doucette.

Item 6 – Supervision

The Firm monitors Mr. Doucette's advisory activities through a comprehensive system of supervision. This system is designed to ensure compliance with all applicable securities laws, rules, and regulations. The advice that Rick Doucette provides to clients is subject to

periodic review by the company's compliance personnel under the supervision of Rick Doucette, Chief Compliance Officer, available at 207-240-9821.

Written Supervisory and Compliance Procedures

The Firm utilizes **written supervisory procedures (WSPs)** and **compliance procedures** as a foundation for its oversight. These documents are tailored to the Firm's business model and outline specific responsibilities, activities, and frequency of reviews. The procedures are regularly amended to reflect changes in regulations and business practices. A copy of the WSPs is maintained in each office where supervisory activities occur.

Monitoring and Tools

To maintain compliance, the Firm's monitoring of Mr. Doucette includes, but is not limited to:

- **Review of Client-Related Activities:** The Firm regularly reviews the advice Mr. Doucette provides to clients, including an ongoing scrutiny of client transactions and account activity. This includes both real-time monitoring and post-event reviews to identify any unusual or inconsistent activity. The purpose is to ensure all advisory activities are consistent with the client's stated investment objectives and risk tolerance.
- **Electronic Communications Review:** The Firm has policies and procedures for reviewing electronic communications, such as emails and other messages, to detect potential compliance issues or violations. This review is not limited to client communications but also includes internal communications.
- **Annual Reviews:** A thorough annual review of the Firm's policies and procedures is conducted to assess their adequacy and effectiveness. This review considers any compliance issues that may have arisen, changes in business activities, and new or amended regulations. The results of this review are documented.
- **Code of Ethics:** Mr. Doucette, as a supervised person, is subject to the Firm's written Code of Ethics. This code outlines the standards of business conduct and reflects the Firm's fiduciary duties to its clients. Mr. Doucette must acknowledge receipt and understanding of this policy on an annual basis.
- **Reporting and Documentation:** Any suspected or known violations of applicable laws or the Firm's Code of Ethics must be reported immediately to the Chief Compliance Officer (CCO). The CCO is responsible for administering the compliance program and has the authority to enforce policies and procedures. The Firm maintains books and records of all supervisory activities and reviews.

Item 7 – Requirements for State-Licensed Advisors

There are no legal, civil or disciplinary events to disclose regarding Rick Doucette.